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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number

10/523,096

Filing Date

February 1, 2005

First Named Inventor

Robert A. Levine

Art Unit

To be determined

Examiner Name

To be determined

Attorney Docket Number

186253/US/2 - 475387-00112

**ENCLOSURES**

(Check all that apply)

☐

Fee Transmittal Form

☐

Fee Attached

☐

Amendment/Reply

☐

After Final

☐

Affidavits/declaration(s)

☐

Extension of Time Request

☐

Express Abandonment Request

☐

Information Disclosure Statement

☐

Certified Copy of Priority Document(s)

☐Reply to Missing Parts/  
Incomplete Application☐Reply to Missing Parts  
under 37 CFR 1.52 or 1.53☐

Drawing(s)

☐

Licensing-related Papers

☐

Petition

☐Petition to Convert to a  
Provisional Application☐

Power of Attorney, Revocation

☐

Change of Correspondence Address

☐

Terminal Disclaimer

☐

Request for Refund

☐

CD, Number of CD(s) \_\_\_\_\_

☐

Landscape Table on CD

☐

After Allowance Communication to TC

☐Appeal Communication to Board  
of Appeals and Interferences☐Appeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)☐

Proprietary Information

☐

Status Letter

☒Other Enclosure(s) (please identify  
below):Request for Filing Receipt Correction, Return  
Receipt Postcard

Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name

Dorsey &amp; Whitney, L.L.P.

Signature

Printed name

Gary Abelev, Esq.

Date

January 18, 2006

Reg. No.

Reg. No. 40,479

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

Typed or printed name

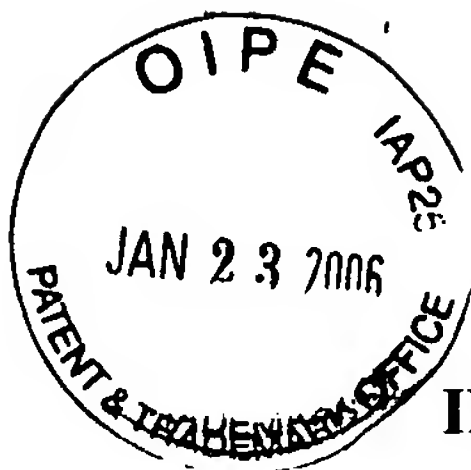
Gary Abelev, Esq.

Date

January 18, 2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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Docket No. 186253/US – 475387-00112


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor:	Robert A. Levine	Examiner:	To be assigned
Appln. No.:	10/523,096	Group Art Unit:	3739
Filed:	February 1, 2005		
Title:	CARDIAC DEVICES AND METHODS FOR MINIMALLY INVASIVE REPAIR OF ISCHEMIC MITRAL REGURGITATION		

**REQUEST FOR CORRECTION  
OF FILING RECEIPT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

I hereby certify that this document is being deposited with the United States Postal Service addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 18<sup>th</sup> day of January 2006.

  
(Signature)


Sir:

Applicants respectfully request a correction of the Filing Receipt. The filing date of the application provided on the Filing Receipt should be changed from August 31, 2005 to February 1, 2005 (which is the correct filing date). Enclosed herewith, please find the Express Mail receipt, the transmittal of the application, along with the Return receipt postcard, all of which reflecting the correct filing date of this application as February 1, 2005.

Please forward a corrected filing receipt which indicates the correct filing date of the application as February 1, 2005.

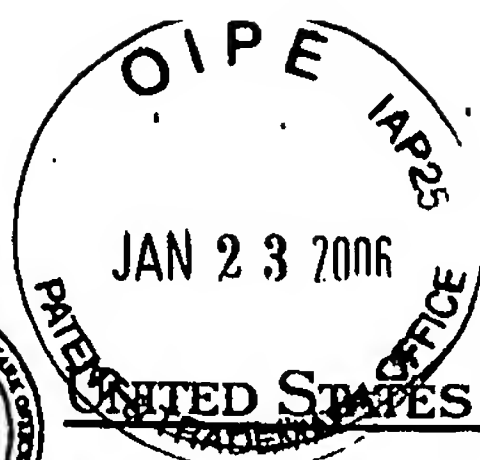
Respectfully submitted,

Date: January 18, 2006

  
By: Gary Abelev (Reg. No. 40,479)  
DORSEY & WHITNEY LLP  
250 Park Avenue  
New York, NY 10177  
(212) 415-9200

Enclosures

4842-2137-3184\1



UNITED STATES PATENT AND TRADEMARK OFFICE

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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/523,096	08/31/2005 02/01/2006	3739	1340	186253/US-475387-00112	5	55	4

30873  
 DORSEY & WHITNEY LLP  
 INTELLECTUAL PROPERTY DEPARTMENT  
 250 PARK AVENUE  
 NEW YORK, NY 10177

Patent Mail Received

JAN 17 2006

CONFIRMATION NO. 8398

## FILING RECEIPT



\*OC000000017833287\*

Date Mailed: 01/12/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Robert A Levine, Brookline, MA;  
 Emmanuel Messas, Paris, FRANCE;

## Assignment For Published Patent Application

The General Hospital Corporation, Boston, MA

Power of Attorney: The patent practitioners associated with Customer Number **30873**.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/US03/24367 08/01/2003  
 which claims benefit of 60/400,151 08/01/2002

## Foreign Applications

Projected Publication Date: 04/20/2006

Non-Publication Request: No

Early Publication Request: No

\*\* SMALL ENTITY \*\*

**Title**

Cardiac devices and methods for minimally invasive repair of ischemic mitral regurgitation

**Preliminary Class**

606

## **PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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TUV-  
Attorney Docket No. 29838-102 Date: February 1, 2005  
Serial No.: N/A Filed: Herewith For: Robert A. Levine et al.  
Title: Cardiac Devices and Methods for Minimally Invasive etc.

Please date stamp this card and return it to us to indicate that you have  
received the following documents.

**10/523096**

Transmittal Letter to US/RO (1 pg); Transmittal Letter  
to DO/EO/US (2 pgs); Substitute Specification (25 pgs);  
Substitute drawings (10 pgs); Declaration (1 pg);  
ADS (2 pgs); assignment papers (4 pgs); and checks for  
\$1475.00 and \$40.00.

PERKINS, SMITH & COHEN, LLP

JAH/mms

Express Mail Label No. EV022365263US

Date of Deposit: 2/1/05

**DT03 Rec'd PCT/PTO 01 FEB 2005**



# FILE

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emark ice; U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL LETTER TO THE UNITED STATES RECEIVING OFFICE

Express Mail mailing number: EV022365263US

Date of deposit: February 1, 2005

File reference no.: 29838-102

International application no. (if known): PCT/US03/24367

Title of the invention: CARDIAC DEVICES AND METHODS FOR MINIMALLY INVASIVE REPAIR etc.

Earliest priority date claimed (Day/Month/Year): 01/08/02

☐ This is a new International Application

### SCREENING DISCLOSURE INFORMATION:

In order to assist in screening the accompanying international application for purposes of determining whether a license for foreign transmittal should and could be granted and for other purposes, the following information is supplied. (check as many boxes as apply):

☐ The invention disclosed was **not** made in the United States of America.☐ There is no prior U.S. application relating to this invention.☐ The following prior U.S. application(s) contain subject matter which is related to the invention disclosed in the attached international application. (NOTE: *priority to these applications may or may not be claimed on the Request (form PCT/RO/101) and this listing does not constitute a claim for priority.*)

application no.		filed on	
application no.		filed on	

☐ The present international application contains additional subject matter not found in the prior U.S. application(s) identified above. The additional subject matter is found on pages \_\_\_\_\_ and ☐ DOES NOT ALTER ☐ MIGHT BE CONSIDERED TO ALTER the general nature of the invention in a manner which would require the U.S. application to have been made available for inspection by the appropriate defense agencies under 35 U.S.C. 181 and 37 C.F.R. 5.15.

### Itemized list of contents

Sheets of Request form:	Check no.: 039419 and 039420
Sheets of description (excluding sequence listing):	Return receipt postcard: yes
Sheets of claims:	Power of attorney:
Sheets of abstract:	Certified copy of priority document (specify):
Sheets of drawings:	Other (specify): Transmittal Letter Form PTO-1390; Substitute Specification; Substitute drawing sheets 1-10; Declaration; and assignment papers; and Application Data Sheet.
Sheets of sequence listing:	
Sequence listing diskette/CD:	
Tables related to sequence listing CD:	

The person signing this form is:

☐ Applicant☒ Attorney/Agent (Reg. No.)☐ Common Representative

John A. Hamilton, Reg. No. 48,946

Name of person signing

Signature

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